

### Amendments to the Claims

Please amend claims 1-4, 6, 8, 11-21 and 35-44. Please cancel claims 5, 9, 10, 22-34 and 45-62.  
The Claim Listing below will replace all prior versions of the claims in the application:

### Listing of claims:

1. (Currently amended) A finance system supporting a plurality of different types of employee stock plans comprising:

a computer implemented finance system that processes a transaction pursuant to a first one of the employee stock plans, the finance system including:

a processor module coupled to memory that comprises volatile data storage;

the processor module being programmed to communicate with a remote administration system module, the remote administration system module comprising non-volatile data storage that stores a plurality of master brokerage accounts, each of the plurality of master brokerage accounts comprising individual participant information in at least one of the plurality of different types of employee stock plans;

the processor module of the finance system being programmed to receive, from the remote administration system module, a plurality of limited brokerage accounts, each of the limited brokerage accounts comprising a subset of the individual participant information from a corresponding master brokerage account;

the processor module of the finance system being programmed to store the plurality of limited brokerage accounts in the [[a]] volatile data storage of the finance system; that stores participant information pursuant to a data transfer from a nonvolatile database of a third party administration system, the third party administration system being not a part of said system for supporting the plurality of different types of employee stock plans; and

the processor module of the finance system being programmed to execute an interface system module through which configured to provide a participant accesses with participant information in a limited brokerage account regarding requested transactions and to enable the participant to select a response pertaining to the first employee stock plan; and through which the participant interacts with a trading system, connected to said interface system, that conducts to

conduct individual participant transactions on a public exchange, said trading system being responsive to a response by the participant to conduct a transaction to conduct the transaction;  
a communication system that connects the participant to the finance system; and  
the processor module of the finance system being programmed to update an updating system that updates the participant information [[in]] of the limited brokerage account in the volatile data storage according to the individual participant transactions [[made]] conducted by the participant; and

the processor module of the finance system being programmed to transmit the participant information updated in the limited brokerage account to a corresponding master brokerage account stored in the non-volatile data storage of the remote administration system module.

2. (Currently amended) The [[A]] system of claim 1 supporting a plurality of different types of employee stock plans further comprising:

a computer implemented finance system for processing a transaction pursuant to a first one of the employee stock plans, the finance system including:

—— a volatile data storage that stores participant information pursuant to a data transfer from a nonvolatile database of a third party administration system, the third party administration system being not a part of said system for supporting the plurality of different types of employee stock plans; and

—— an interface system configured to provide a participant with information regarding requested transactions and to enable the participant to select a response pertaining to the first employee stock plan;

a trading system, connected to said interface system, that conducts individual participant transactions on a public exchange, said trading system being responsive to a response by the participant to conduct a transaction to conduct the transaction;

a communication system that connects the participant to the finance system; and  
an updating system that updates the participant information in the volatile data storage according to the transactions made by the participant; and

the processor module of the finance system being programmed to execute a reporting system module that enables a corporate employee to run a report generates reports based on the

participant information of the plurality of limited brokerage accounts stored in the volatile data storage of the finance system.

3. (Currently amended) The system of claim 1 [[or 2]], wherein the employee stock plan comprises at least one of an employee stock option plan (ESOP), a restricted stock award (RSA) plan, and an employee stock purchase plan (ESPP) that is administered by a financial services organization.

4. (Currently amended) The system of claim 2, ~~further comprising means for~~ wherein the processor module is programmed to create ~~creating~~ user profiles associated with ~~a corporate an~~ employer profile wherein and the reporting system module the users run the generates the reports in accordance with ~~their~~ respective user profiles.

5. (Canceled) ~~The system of claim 2 wherein the reporting system enables a corporate employer to run the reports in accordance with a respective profile.~~

6. (Currently amended) The system of claim 2, wherein the interface system module enables a corporate employer to select user selection of a report template[[,]] and corresponding parameters for the selected report template, ~~for use in running their reports and the reporting system module generates the reports in accordance with the selected report template.~~

7. (Original) The system of claim 2, wherein the reports relate to at least one of grants outstanding, grants exercised, or options dilution.

8. (Currently amended) The system of claim 2, ~~further comprising means to enable the corporate employer~~ wherein the interface system module enables a user to set parameters including at least one of a filtering criteria parameter to filter for filtering the reports[[,]] and sorting sort criteria for sorting the reports.

9. (Canceled) ~~The system of claim 2, wherein the reporting system enables a corporate employer to run the reports in accordance with respective client profiles.~~
10. (Canceled) ~~The system of claim 2, further comprising means for communicating the updated participant information from the volatile data storage to the nonvolatile database.~~
11. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module enables the participant to make a selection regarding a distribution election for the employee stock plan.
12. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module enables the participant to make a selection regarding a contribution election for the employee stock plan.
13. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module enables the participant to make a selection regarding a tax election for the employee stock plan.
14. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module enables the participant to access an online form relating to the employee stock plans.
15. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module notifies the participant, regarding the respective employee stock plan, of at least one of: stock option grants acceptance pending, stock option grants expiring, restricted stock tax election not chosen, cash payment due, enrollment election and distribution election.
16. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module notifies the participant of at least one of a restricted stock award and a stock option grant/award, and enables the participant to accept, reject or defer acceptance of the award.

17. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module interacts with at least one user to perform block trades for shares acquired by the participant pursuant to the employee stock plan; and

the participant information in the volatile data storage is updated according to the block trades performed.

18. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module enables a user to sell a block of shares in multiple trades on behalf of the participant for shares acquired by the participant pursuant to the employee stock plan by entering a share quantity and price for each trade; and the participant information in the volatile data storage is updated according to the block trades performed.

19. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module interacts with at least one user to enable the user to view trade entries for the employee stock plan, and in response thereto, enter an approved or disapproved status for at least one of an associated check and an associated journal, the interface system further comprising means for linking the check and the journal so that an entry made by the user for the journal is automatically carried over to an entry for the check.

20. (Currently amended) The system of claim 1 [[or 2]], wherein the interface system module interacts with at least one user to enable the user to view trade entries for the employee stock plan, and in response thereto, enter an approved or disapproved status for at least one of an associated check and an associated journal, the interface system further comprising means for linking the check and the journal so that an entry made by the user for the journal is automatically carried over to a related entry for the check wherein the user is enabled to correct, via the interface system, the trade entries.

21. (Currently amended) A method for supporting a plurality of different types of employee stock plans in a finance system ~~in an overall system in which the method operates~~, comprising:

processing a transaction pursuant to a first one of the employee stock plans via a computer implemented finance system;

receiving, from a remote administration system module, a plurality of limited brokerage accounts, each of the limited brokerage accounts comprising a subset of individual participant information of a corresponding master brokerage account stored in non-volatile data storage of the remote administration system module;

storing the plurality of limited brokerage accounts participant information in volatile data storage of the finance system pursuant to a data transfer from a nonvolatile database of a third party administration system, the third party administration system being not a part of the overall system;

presenting an interface system module through which a participant accesses making available to a participant information in a limited brokerage account regarding a requested transaction, and enabling the participant to select a response pertaining to the first employee stock plan; and through which the participant interacts with a trading system to conduct individual participant transactions conducting the participant transaction on a public exchange via a trading system in response to the selected response;

updating the participant information of the limited brokerage account in the volatile data storage according to the individual participant transactions [[made]] conducted by the participant; and

transmitting the participant information updated in the limited brokerage account to a corresponding master brokerage account stored in the non-volatile data storage of the remote administration system module

enabling a corporate employer to run a report based on the participant information pursuant to a reporting system.

22. through 34. (Canceled)

35. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module enables the participant to make a distribution election selection related to the employee stock plan.

36. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module enables the participant to make a distribution election selection related to the employee stock plan, wherein the distribution elections include at least one of: maintaining funds in a limited brokerage account of the financial services organization, transferring funds to an external account, receiving funds via a check, selling shares via block trading, and obtaining shares via physical certificate.
37. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module enables the participant to make a contribution election selection related to the employee stock plan.
38. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module enables the participant to make a tax election selection related to the employee stock plan.
39. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module enables the participant to access an online form associated with the employee stock plan.
40. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module enables the participant to access an online form associated with the employee stock plan, the online form including at least one of: a wire transfer instruction form, a stock option account activation form, and an electronic share transfer form.
41. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module enables the participant to select at least one of a current enrollment period and a future enrollment period in making a selection.

42. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module enables the participant to make a selection regarding at least one of: designating a payroll deduction, stopping future contributions, and withdrawing previous contributions from their employee stock plan.

43. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module notifies the participant of at least one of: a stock option grant pending acceptance, an expiring stock option grant, a restricted stock tax election not chosen, cash payment due, and an enrollment election and distribution election.

44. (Currently amended) The ~~system of claim 1 or 2~~ method of claim 21, wherein the interface system module notifies the participant of at least one of a restricted stock award and a stock option grant/award, and enables the participant to accept, reject or defer acceptance of the award.

45. through 62. (Canceled)